

FORM PTO-1390
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

SHP-PT050

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

Not known
09/445050

INTERNATIONAL APPLICATION NO.
PCT/GB98/01587

INTERNATIONAL FILING DATE
June 1, 1998

PRIORITY DATE CLAIMED
June 2, 1997

TITLE OF INVENTION

ORGANOMETALLIC COMPLEXES

APPLICANT(S) FOR DO/EO/US Victor Christou

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An unsigned oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☒ The annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)) which include claim amendments upon which examination is sought.

Items 11. to 16. below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:
International Search Report (included with International Publication);
International Preliminary Examination Report;
Communication Under Rule 37 C.F.R. 1.53(b);
A check in the amount of \$894; and
Certificate of Express Mailing Accompanying Patent Application.

Form PTO-1390 (REV 11-98) page 2 of 2

STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN

Docket Number (Optional)
SHP-PT050

Applicant, Patentee, or Identifier: Victor Christou
Application or Patent No.: U.S. National Phase of International Application No. PCT/GB98/01587
Filed or Issued: International Filing Date: 1 June 1998
Title: ORGANOMETALLIC COMPLEXES

I hereby state that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Isis Innovation Limited

ADDRESS OF SMALL BUSINESS CONCERN 2 South Parks Road, Oxford OX1 3UB,
United Kingdom

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with title as listed above.
☒ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☒ no such person, concern, or organization exists.
☐ each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING T COOK

TITLE OF PERSON IF OTHER THAN OWNER Managing Director, Isis Innovation Limited

ADDRESS OF PERSON SIGNING 2 South Parks Road, Oxford OX1 3UB, United Kingdom.

SIGNATURE T Cook DATE 5-1-00

**STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(b))--INDEPENDENT INVENTOR**

Docket Number (Optional)
SHP-PT050

Applicant, Patentee, or Identifier: Victor Christou

Application or Patent No.: U.S. National Phase of International Application No. PCT/GB98/01587

Filed or Issued: International Filing Date: 1 June 1998

Title: ORGANOMETALLIC COMPLEXES

As a below named inventor, I hereby state that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office described in:

- ☐ the specification filed herewith with title as listed above.
- ☒ the application identified above.
- ☐ the patent identified above.

I have not assigned, granted, conveyed, or licensed, and am under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☐ No such person, concern, or organization exists.
- ☒ Each such person, concern, or organization is listed below.

**Isis Innovation Limited, 2 South Parks Road,
Oxford OX1 3UB, United Kingdom**

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

Victor Christou

NAME OF INVENTOR

Signature of inventor

January 5, 2000

Date

NAME OF INVENTOR

Signature of inventor

Date

NAME OF INVENTOR

Signature of inventor

Date

09/445050

Express Mail Label No.: EL404234792US

426 Rec'd PCT/PTO 01 DEC 1999 PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the **PATENT APPLICATION** of:

Victor Christou

Application No.: Not Yet Known

Filed: Not Yet Known

For: ORGANOMETALLIC COMPLEXES

Group: Not Yet Known

Examiner: Not Yet Known

Our File: SHP-PT050

Date: December 1, 1999

COMMUNICATION UNDER RULE 37 C.F.R. § 1.53(b)

Box PCT
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:


The purpose of this Communication is to advise the Office that the above-identified application is being filed pursuant to 37 C.F.R. § 1.53(b) with an unsigned Declaration and Power of Attorney. It is respectfully requested that the application be granted a filing date of even date with this Communication.

Respectfully submitted,

Victor Christou

VOLPE and KOENIG, P.C.
400 One Penn Center
1617 John F. Kennedy Boulevard
Philadelphia, PA 19103

By



Marilou E. Watson, Esquire
Registration No. 42,213
(215) 568-6400

MEW/tc
Enclosure

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the **PATENT APPLICATION** of:

Victor Christou

Application No.: Not Yet Known

Filed: Not Yet Known

For: ORGANOMETALLIC COMPLEXES

Group: Not Yet Known

Examiner: Not Yet Known

Our File: SHP-PT050

Date: December 1, 1999

**CERTIFICATE OF MAILING
BY EXPRESS MAIL ACCOMPANYING PATENT APPLICATION**

Box PCT
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

I hereby certify that the accompanying correspondence is being deposited with the "Express Mail Post Office to Addressee" service of the United States Postal Service in an envelope addressed to Box PCT, Assistant Commissioner for Patents, Washington, D.C. 20231 on December 1, 1999. The number of the "Express Mail" mailing label EL404234792US has been placed on the accompanying correspondence prior to mailing. It is therefore respectfully requested that this correspondence be considered as having been filed in the Office on the date shown above in accordance with the provisions of 37 C.F.R. § 1.10.

Respectfully submitted,

12/1/99
Date

Todd Conway
Todd Conway

VOLPE and KOENIG, P.C.
400 One Penn Center
1617 John F. Kennedy Boulevard
Philadelphia, PA 19103
(215) 568-6400